

02-03-04

APPROVED

for

PTO DEPOSIT ACCOUNT CHARGE  
ACCOUNT# 04-1700

PTO/SB/21 (08-00)

Deposited on: 02/02/2004

DUNLAP, CODDING & ROGERS, P.C. Approved for use through 10/31/2002. OMB 0851-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/938,039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Group Art Unit	1712
Examiner Name	M. Zimmer
Attorney Docket Number	7124.015

Total Number of Pages in This Submission

**ENCLOSURES (check all that apply)**

- ☒ Fee Transmittal Form  
☐ Fee Attached  
☐ Amendment / Reply  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☒ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☐ Response to Missing Parts/ Incomplete Application  
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)  
☐ Drawing(s)  
☐ Licensing-related Papers  
☐ Petition  
☐ Petition to Convert to a Provisional Application  
☐ Power of Attorney, Revocation Change of Correspondence Address  
☐ Terminal Disclaimer  
☐ Request for Refund  
☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group  
☐ Appeal Communication to Board of Appeals and Interferences  
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Other Enclosure(s) (please identify below):

See remarks below:

**Remarks**

1. Supplemental Information Disclosure Statement (5 pages);  
2. Supplemental Form 1449 (3 pages);  
3. Fee Transmittal (1 page);  
4. Transmittal Form (1 page); and  
5. Postcard.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual nameDUNLAP, CODDING & ROGERS, P.C., Customer Number 30589  
P. O. Box 16370, Oklahoma City, Oklahoma 73113

Signature

Date

2.2.04

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express mail no. EL988726523US in an envelope addressed to the address below on this date: 02/02/2004

Typed or printed name

Douglas J. Sorocco, Reg. No. 43,145

Signature

Date

2.2.04

SEND TO: Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

APPROVED

for

PTO DEPOSIT ACCOUNT CHARGE  
ACCOUNT# 1-1700

Express Mail No. 988726523US

Date Deposited: 02/02/2004

988726523US  
02/02/2004

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

DUNLAP, CODDING &amp; ROGERS, P.C.

**FEE TRANSMITTAL  
for FY 2004**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 180

**Complete if Known**

Application Number	09/938.039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Examiner Name	M. Zimmer
Art Unit	1712
Attorney Docket No.	7124.015

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:
 Deposit  
Account  
Number  
Deposit  
Account  
Name

04-1700

Dunlap, Coddling & Rogers, P.C.  
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$ 0</b>

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	** =	X	\$0
Multiple Dependent	** =	X	\$0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 86	2201 43	Independent claims in excess of 3	
1203 290	2203 145	Multiple dependent claim, if not paid	
1204 86	2204 43	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>			<b>(\$ 0</b>

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 180****SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)

Douglas J. Sorocco

Registration No.  
(Attorney/Agent)

43,145

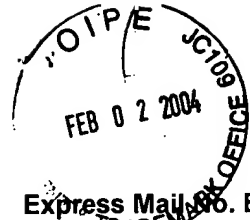
Telephone (405) 607-8600

Signature

Date

02/02/2004

Commissioner for Patents  
PO Box 1450, Alexandria, VA 22313-1450



Express Mail No. EL988726523US  
Mailed: February 2, 2004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Karl W. Terry et al. ) Atty. Dkt. No. 7124.015  
Serial No.: 09/938,039 )  
Filed: August 23, 2001 )  
For: COMPOSITION FOR PROVIDING AN ABRASION RESISTANT COATING ON A  
SUBSTRATE WITH A MATCHED REFRACTIVE INDEX AND CONTROLLED  
TINTABILITY

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This  
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ Forms PTO/SB/08A and 08B (formerly Form PTO-1449)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. ☐ Cumulative Patents or Publications
6. ☐ Copies of Listed Information Items Accompanying this Statement

02/06/2004 AWONDAF1 00000013 041700 09938039

01 FC:1806 180.00 DA

- 7.    ☐    Concise Explanation of Non-English Language Listed Information Items
  - 7A.   ☐    EPO Search Report
  - 7B.   ☐    English Language Version
- 8.    ☐    Translation(s) of Non-English Language Documents
- 9.    ☐    Concise Explanation of English Language Listed Information Items (Optional)
- 10.   ☒    Identification of Person(s) Making this Information Disclosure Statement

### **Section 1.   Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

### **Section 2.   Forms PTO/SB/08A and 08B (formerly Form PTO-1449)**

- ☒    A completed Form PTO/SB/08A and/or Form PTO/SB/08B is attached hereto.

### **Section 3.   Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)**

### **Section 4.   Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted**

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ (date).

*(complete the following, if applicable)*

- ☐ This application also relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ (date).

The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore, are not required to be provided in this application:

## **Section 5. Cumulative Patents or Publications**

### **STATEMENT**

\_\_\_\_\_ is cumulative of the following patents or publications listed on Form PTO-1449:

In accordance with 37 C.F.R. § 1.98(c), a copy of only \_\_\_\_\_ is being submitted with this Information Disclosure Statement.

## **Section 6. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

- ☐ Exception(s) to above:
- ☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4.
- ☐ Cumulative patents or publications identified in Section 5.

## **Section 7. Concise Explanation of Non-English Language Listed Information Items**

### **Section 7A. Concise Explanation of Non-English Language Listed Information Items - EPO Search Report**

The relevance with respect to the following citations listed on Form PTO-1449:

is submitted on the basis of accompanying:

*(check the appropriate item)*

- ☐ EPO search report that is in the English language,
- ☐ EPO search report that is not in the English language and that is accompanied also by an English language version of the EPO search report,

that issued on the corresponding European patent application.

**Section 7B. Concise Explanation of Non-English Language Listed Information Items  
- English Language Version of EPO Search Report**

**Section 8. Translation(s) of Non-English Language Documents**

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

*(complete the following, if applicable)*

- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

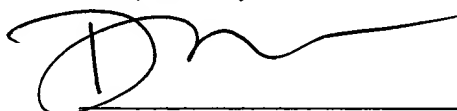
**Section 9. Concise Explanation of English Language Listed Information Items  
(OPTIONAL)**

**Section 10. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the agent/attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the agent/attorney's file

Respectfully submitted,



---

Douglas J. Sorocco, Reg. No. 43,145  
DUNLAP, CODDING & ROGERS, P.C.  
P.O. Box 16370, Customer No. 30589  
Oklahoma City, Oklahoma 73113  
Telephone: 405/607-8600  
Facsimile: 405/607-8686

Attorney for Applicant



Express Mail: EL988726523US  
Date Deposited: February 2, 2004

Substitute for form 1449A/PTO

# **SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

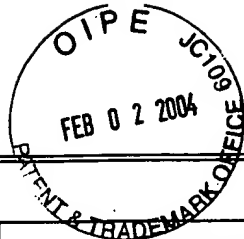
Complete if Known	
Application Number	09/938,039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Group Art Unit	1712
Examiner Name	M. Zimmer
Attorney Docket Number	7124.015

(use as many sheets as necessary)

## **U. S. PATENT DOCUMENTS**

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number							Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		3	7	8	0	1	3	2		Lohr	12/18/1973	
		3	9	2	2	4	4	0		Wegworth et al.	11/25/1975	
		4	0	2	7	0	7	3		Clark	05/31/1977	
		4	0	8	1	4	2	1		Yoshida et al.	03/28/1978	
		4	3	5	5	1	3	5		January	10/19/1982	
		4	3	9	0	3	7	3		White et al.	06/28/1983	
		4	4	0	5	6	7	9		Fujoika et al.	09/1983	
		4	4	4	2	1	6	8		White et al.	04/10/1984	
		4	4	8	5	1	3	0		Lampin et al.	11/27/1984	
		4	5	9	4	2	9	0		Fischer et al.	06/10/1986	
		4	7	5	6	8	2	7		Mayer	07/12/1988	
		5	0	1	3	6	0	8		Guest et al.	05/1991	
		5	0	1	3	7	8	8		Nagashima et al.	05/07/1991	
		5	1	0	2	6	9	5		Guest et al.	04/07/1992	
		5	1	2	0	8	1	1		Glotfelter et al.	06/09/1992	
		5	3	1	4	9	4	7		Sarawagi	05/24/1994	
		5	3	1	6	7	9	1		Farber et al.	05/31/1994	
		5	3	6	7	0	1	9		Sawaragi	11/22/1994	
		5	7	8	9	0	8	2		Treadway	08/04/1998	





### U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number							Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5	7	8	9	4	7	6		Iryo et al.	08/1998	
		5	9	0	7	0	0	0		Treadway	05/1999	
		5	9	1	9	8	6	0		Roesler et al.	07/1999	
		5	9	5	8	5	1	4		Havey et al.	09/28/1999	
		6	0	0	1	1	6	3		Havey et al.	12/1999	
		6	0	5	7	0	3	9		Takeshita et al.	05/2000	
		6	3	4	2	0	9	7		Terry et al.	01/29/2002	
		6	3	4	6	3	3	1		Harvey et al.	02/12/2002	
		6	3	4	8	2	6	9		Terry	02/19/2002	
		6	5	3	8	0	9	2		Terry et al.	03/25/2003	

### FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document				Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Kind Code5 Office 3	Number 4	(if known)				
			2071692	Canada			12/26/1992	
			DE4020316 A1	Germany			01/09/1992	
			DE4118826 A1	Germany			12/12/1991	
			EP0407174 A	EP			01/09/1991	
			EPB0570165	EPB			10/29/1997	
			EPB0601782	EPB			05/28/1997	
			EPO526975 A2	EPO			02/10/1993	
			JP4198379	Japan			07/17/1992	
			JP446975	Japan			02/17/1992	
			JP58141250	Japan			08/22/1983	
			WO9516522	PCT			06/22/1995	
			WO9629154	PCT			09/26/1996	
			WO9846692A	PCT			10/22/1998	



## FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear
		Kind Code5 Office 3	Number 4	(if known)			
			WO00/24831	PCT		05/04/2000	
			07-291817	Japan		11/1995	
			09-118757	Japan		05/1997	

## OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

		Chemical Abstract, Vol. 126, No. 1, January 1997, Columbus, Ohio, US; Abstract No. 9335, KATO, H., E.A.: "Siloxane coat compositions with improved resistance to abrasion, UV, and heat for plastic optical materials" XP002075220 (see abstract & JP 08 239 627 A (Ito Optical Ind Co. Ltd.)
		"Cycloaliphatic Epoxide Based Sol-Gel Derived Materials"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346 Sigel, Domszy and Welch
		"New Type of A Sol-Gel-Derived Inorganic-Organic Nanocomposite"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346, Kasemann, Schmidt, Wintrich

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. \*\*Place of Publication refers to name of publication in which the information was published.